

## DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

As the below named inventor(s), I/we declare that:

This declaration is directed to:

The attached application, or  
 Application No. 09/827,256, filed on 05 April 2001,  
 as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/ we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

### FULL NAME OF INVENTOR(S)

Inventor one EMPEDOCLES, Stephen A. Date: 6/17/01

Signature:  Citizen of: USA

Inventor two WATSON, Andrew R. Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: UK

Inventor three JIN, Jian Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: CHINA

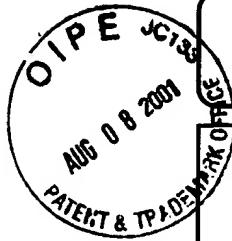
Inventor four \_\_\_\_\_ Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: \_\_\_\_\_

Additional inventors are being named on \_\_\_\_\_ additional form(s) attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PA 3138027 v2



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### FULL NAME OF INVENTOR(S)

Inventor one EMPEDOCLES, Stephen A. Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: USA

Inventor two WATSON, Andrew R. Date: 6/14/2001

Signature: A.R. Watson Citizen of: UK

Inventor three JIN, Jian Date: 6/12/01

Signature: Jian Jin Citizen of: CHINA

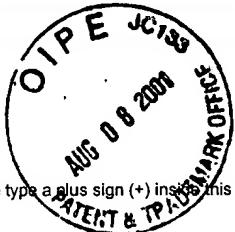
Inventor four \_\_\_\_\_ Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Citizen of: \_\_\_\_\_

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PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0651-0035  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>POWER OF ATTORNEY OR AUTHORIZATION OF AGENT</b>	<b>Application Number</b>	09/827,256
	<b>Filing Date</b>	04/05/2001
	<b>First Named Inventor</b>	EMPEDOCLES et al.
	<b>Title</b>	SPATIAL POSITIONING OF SPECTRALLY LABELED BEADS
	<b>Group Art Unit</b>	
	<b>Examiner Name</b>	
<b>Attorney Docket Number</b>	19916004100	

I hereby appoint:

Practitioners at Customer Number

**AND**

Practitioner(s) named below:

20350

Place Customer  
Number Bar Code  
Label here

Name	Registration Number
KENNETH BAROVSKY, ESQ.	36,442

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

The above-mentioned Customer Number.

**OR**

<input checked="" type="checkbox"/> Firm or Individual Name	MARK D. BARRISH		
Address			
Address			
City	State	ZIP	
Country			
Telephone	Fax		

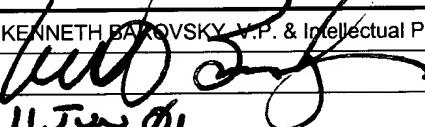
I am the:

Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

**SIGNATURE of Applicant or Assignee of Record**

Name	KENNETH BAROVSKY, V.P. & Intellectual Property Counsel		
Signature			
Date	11 Jun 01		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required.  
Submit multiple forms if more than one signature is required, see below\*.

\*Total of 1 form(s) is submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PA 3148198 v2



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Form PTO-1595

(Rev. 03-01)  
OMB No. 0651-0027 (exp. 5/31/2002)

## Recordation Form Cover Sheet

**PATENTS ONLY**U.S. Department of Commerce  
U.S. Patent and Trademark Office

Tab settings

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

## 1. Name of conveying party(ies):

EMPEDOCLES, STEPHEN A.  
WATSON, ANDREW R.  
JIN, JIANAdditional name(s) of conveying parties attached?  Yes  No

## 3. Nature of conveyance:

<input checked="" type="checkbox"/> Assignment	<input type="checkbox"/> Merger
<input type="checkbox"/> Security Agreement	<input type="checkbox"/> Change of Name
<input type="checkbox"/> Other: _____	

Execution Date: 06/02/01; 06/04/01 and 06/07/01

## 4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No(s): 09/827,256

B. Patent No(s):

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Mark D. Barrish  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \$40.00

 Enclosed Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

## DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.

Mark D. Barrish  
Name of Person Signing  
Atty. Reg. No. 36,443

Signature

3 AUGUST 2001

Date

Total number of pages including cover sheet, attachments and document 3

Mail documents to be recorded with required cover to:  
Commissioner of Patents and Trademarks, Box Assignments  
Washington, D.C. 20231

**ASSIGNMENT OF PATENT APPLICATION**

JOINT

WHEREAS, STEPHEN A. EMPEDOCLES, of 2507 Mardell Way, Mountain View, CA 94043; ANDREW R. WATSON, of 1 Spring Lane, Belmont, CA 94002; and JIAN JIN, of 2137 California Street, Berkeley, CA 94703; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: SPATIAL POSITIONING OF SPECTRALLY LABELED BEADS

Date(s) of execution of Declaration: 06/2/01; 06/4/01; & 06/7/01

Filing Date: April 5, 2001

Application No.: 09/827,256, and

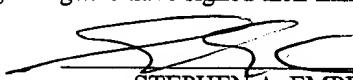
WHEREAS, QUANTUM DOT CORP., a corporation of the State of California, located at 26136 Research Road, Hayward, CA, 94545, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 6/5/01



STEPHEN A. EMPEDOCLES

Dated: \_\_\_\_\_

ANDREW R. WATSON

Dated: \_\_\_\_\_

JIAN JIN

**ASSIGNMENT OF PATENT APPLICATION**

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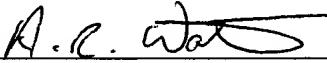
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Dated: \_\_\_\_\_

STEPHEN A. EMPEDOCLES

Dated: 6/4/2001

  
ANDREW R. WATSON

Dated: 6/03/01

  
JIAN JIN